ATTY, DOCKET NO. SERIAL NO. 09/522,709 043920-0032 INFORMATION DISCLOSURE STATEMENT BY APPLICANT APPLICANT Fernando L. ALVARADO, et al. FILING DATE **GROUP** (Substitute for form 1449/PTO) 3693 March 10, 2000 U.S. PATENT DOCUMENTS Pages, Columns, Lines, Where Name of Patentee or Applicant of Cited **EXAMINER'S** CITE Document Number Publication Date Relevant Passages or Relevant MM-DD-YYYY Document Number-Kind Code2 (if known) Figures Appear 05-26-1998 JOHNSON ÜS 5,758,331 US 5.819.237 10-06-1998 **GARMAN** US 6,105,000 08-15-2000 HICKMAN et al. 01-02-2001 JOHNSON US 6.169.979 B1 **PILIPOVIC** US 6,456,982 B1 09-24-2002 2002/0165816 A1 11-07-2002 BARZ US US 6.598.029 B1 07-22-2003 JOHNSON et al. US 6,714,000 B2 03-30-2004 **STAATS** 08-17-2004 GULATI 6,778,968 B1 US 07-26-2005 **SPERANDEO** US 6,922,677 B1 ÜS 2006/0026096 A1 02-02-2006 ALVARADO et al. ALVARADO et al. 2006/0026095 A1 02-02-2006 US ÜS 2002/0152111 A1 10-17-2002 COX et al. 12-29-1998 MORRISON et al. US 5,854,903 HOFFMAN et al. 5,905,666 05-18-1999 US TALLURI ÚS 2002/0065699 A1 05-30-2002 ALVARADO et al. ับร 2003/0101123 A1 05-29-2003 01-24-2002 MOSLER et al. 2002/0010670 A1 US FOREIGN PATENT DOCUMENTS Pages, Columns, Lines Translation Name of Patentee or EXAMINER'S Foreign Patent Document Publication Date Applicant of Cited Document Where Relevant INITIALS CITE Country Code3-Number 4-Kind MM-DD-YYYY No Yes Figures Appear Codes (if known) NO OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.) Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, **EXAMINER'S** journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where INITIALS CITE NO. Fernando L. ALVARADO, "The Dynamics of Power System Markets," 12 March 1997 per Report Number PSerc-97-01. EPRI Report (#TR-114276 titled: "Managing Transmission Risk," Final Report dated December 1999) with the instant application's two inventors (R. RAJARAMAN & F. ALVARADO) are listed amongst the team of principal investigators R. RAJARAMAN & F. ALVARADO, "Understanding price volatility in electricity markets," proceedings of the 33rd Hawaii Intl. Conf. on System Sciences; 5 pgs. GAZALET E.G. & ELLIS J., "Simplified Bidding for WEPEX," 9 September 1996; 31 pgs. LEOTARD, J.P., MIT EL 99-001, "Transmission Pricing and incentives for investments under Uncertainty in the Deregulated Power Industry," dated 26 January 1999, published February 1999; 150 pages ENRON presentation at IEE Conf. titled: "Load Management: A Trading Perspective," 13 pages DATE CONSIDERED **EXAMINER**

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

•			N DISCLOSU BY APPLICA		ATTY. DOCKET NO. 043920-0032		SERIAL NO. 09/522,709				
					APPLICANT Fernando L. ALVARADO, et al.						
(Substitute for form 1449/PTO)					FILING DATE March 10, 2000	March 10, 2000 3693					
			U	.S. PATEN	T DOCUMENTS						
EXAMINER'S INITIALS	CITE NO.	Nu	Document Number mber-Kind Code2 (if known)	Publication Date MM-DD-YYYY		Name of Patentee or Applicant of Cited Document			Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear		
		ÜS					ļ				
		US					 				
		US						-			
		US									
		US									
		US									
		US									
	<u> </u>	US					<u> </u>	·			
		US									
		US					 				
	ļ	US					 				
	 	US									
	I			FOREIGN PA	ATENT DOCUMENTS						
EXAMINER'S INITIALS	CITE NO.	Foreign Patent Document Country Codes -Number 4 -Kind Codes (if known)		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document Where Re Figures A		evant				
											
								-			
	-	-			1	<u> </u>					
	 	 									
	L	L	OTHER A	I RT (Including Auth		itc.)		<u> </u>	<u> </u>		
EXAMINER'S INITIALS CITE NO. Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (bd. journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country published.								y where			
United States Notice of Allowance issued in United States Patent Application No. 11/898,136 dated August 14, 2009											
		1	United States Notice of Allowance issued in United States Patent Application No. 11/898,135 dated August 19, 2009								
		United States Notice of Allowance issued in United States Patent Application No. 11/898/137 dated August 26, 2009									
United States Notice of Allowance issued in United States Patent Application No. 10/118,330 dated September 15, 2009											
EXAMINER					DATE CONSIDERED						

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.